#### Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Richard Brown, et al. ) Re: Information Disclosure

OIPE

Serial No.: 10/075,44

Filed: February 15,

For: "SECURE E-MAIL HANDLING USING A COMPARTMENTED OPERATING SYSTEM"

Statement

Group: 2152

Examiner: not yet assigned

Our Ref: B-4857 940678-2

) Date: March 14, 2003

RECEIVED

Hon. Commissioner of Patents and Trademarks Washington, D.C. 20231

MAR 1, 9, 2003

Sir:

**Technology Center 2100** 

In accordance with the Applicants' duty to disclose information which may be material to the examination of this application, the undersigned respectfully requests that the Examiner consider on the merits the documents listed on the enclosed Form PTO-1449 (modified) before issuing the first Office Action on the merits We are enclosing herewith a copy of each document listed on the enclosed Form PTO-1449 (modified).

The documents listed on the enclosed Form PTO-1449 (modified) include those cited in the Search Reports for the related United Kingdom Patent Application No. GB 0118455.5 (1 page), the related United Kingdom Patent Application No. GB 0020441.2 (1 page); the related United Kingdom Patent Application No. GB 0102516.2 (1 page); the related United Kingdom Patent Application No. GB 0102518.8 (1 page); the related United Kingdom Patent Application No. GB 0104587.1 (1 page); the related United Kingdom Patent Application No. GB 0114882.4 (1 page); the related United Kingdom Patent Application No. GB 0114884.0 (1 page); the related United Kingdom Patent Application No. GB 0114885.7 (1 page); the related United Kingdom Patent Application No. GB 0114891.5 (1 page); the related United Kingdom Patent Application No. GB 0114895.6 (1 page); the related United Kingdom Patent Application No. GB 0114898.0 (1 page); the related United Kingdom Patent Application No. GB 0127978.5 (1 page); the related United Kingdom Patent Application No. GB 0118455.5 (1 page); the related United Kingdom Patent Application No. GB 0213459.1 (1 page); the related European Patent Application No. EP 99307380 (1 page); the related PCT

Information Disclosure Statement USSN 10/075,444
March 14, 2003
Page 2

Patent Application No. PCT/GB02/00385 (2 pages); and the related PCT Patent Application No. PCT/GB02/00419 (2 pages). A copy of each Search Report is enclosed herewith.

The filing of this Information Disclosure Statement (IDS) shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The Applicants believe that this IDS is being submitted before the issuance of a first Office Action on the merits and before the issuance of a Final Rejection or Notice of Allowance. Therefore, no official fees should be due; and this IDS should be considered on the merits. If this IDS is being submitted after the issuance of the first Office Action on the merits and before the issuance of a Final Rejection or Notice of Allowance, please contact the undersigned to authorize a payment of \$180.00 (or any other required amount), which is the fee set forth in 37 C.F.R. § 1.97(c), if the Examiner believes that such a fee is due in order for this IDS to be considered on the merits.

The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner. (Notice of January 9, 1992, 1135 O.G. 13-25, at 25.)

The filing of this Information Disclosure Statement (IDS) shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

Information Disclosure Statement USSN 10/075,444 March 14, 2003 Page 3

The person making this statement is the practitioner who signs below on the basis of information supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)) and on the basis of information in the practitioner's file.

Respectfully submitted,

Richard P. Berg Attorney for Applicant Reg. No. 28,145

LADAS & PARRY 5670 Wilshire Boulevard Suite 2100 Los Angeles, CA 90036 (323) 934-2300

Enclosures: Form PTO-1449 (modified) (4 pages) Copy of Search Report for EP 99307380 (1 page) Copy of Search Report for GB 0020441.2 (1 page) Copy of Search Report for GB 0102516.2 (1 page) Copy of Search Report for GB 0102518.8 (1 page) Copy of Search Report for GB 0104587.1 (1 page) Copy of Search Report for GB 0114882.4 (1 page) Copy of Search Report for GB 0114884.0 (1 page) Copy of Search Report for GB 0114885.7 (1 page) Copy of Search Report for GB 0114891.5 (1 page) Copy of Search Report for GB 0114895.6 (1 page) Copy of Search Report for GB 0114898.0 (1 page) Copy of Search Report for GB 0118455.5 (1 page) Copy of Search Report for GB 0127978.5 (1 page) Copy of Search Report for GB 0213459.1 (1 page) Copy of Search Report for PCT/GB02/00385 (2 pages) Copy of Search Report for PCT/GB02/00419 (2 pages) Copy of documents listed on Form PTO-1449 (modified) Information Disclosure Statement USSN 10/075,444
March 14, 2003
MAR 1 8 7mm

Page 4

## **RECEIVED**

MAR 1.9 2003

### **Technology Center 2100**

Form PTO-1449 (Modified)	<b>ATTY DOCKET NO.</b> B-4857 940678-2	U.S. SERIAL NO. 10/075,444	
LIST OF PATENTS AND PUBLICATIONS	APPLICANT(S) Richard Brown, et al.		
STATEMENT	FILING DATE February 15, 2002	<b>GROUP</b> 2152	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE OR 102(e) DATE IF APPROPRIATE
	2002/0012432 A1	Pub- lished: 1/2002	England et al.	380	231	6/28/01
	2002/0023212 A1	Pub- lished: 2/2002	Proudler	713	164	8/1/01
	5,032,979 A	7/1991	Hecht et al.	364	200	
	5,038,281	8/1991	Peters	364	200	
	5,361,359	11/1994	Tajalli et al.	395	700	
	5,421,006 A	5/1995	Jablon et al.	395	575	
	5,444,850	8/1995	Chang	395	200.1	
	5,680,547 A	10/1997	Chang	395	200.01	
	5,694,590 A	12/1997	Thuraisingham et al.	395	600	
	5,809,145 A	9/1998	Slik	380	25	
	5,815,665	9/1998	Teper et al.	395	200.59	
	5,867,646 A	2/1999	Benson et al.	395	186	
	5,903,732	5/1999	Reed et al.	395	200.59	
	5,960,177	9/1999	Tanno	395	200.59	
	5,987,608 A	11/1999	Roskind	713	200	
	6,023,765	2/2000	Kuhn	713	200	
	6,067,559	5/2000	Allard et al.	709	202	
	6,078,948	6/2000	Podgorny et al.	709	204	
	6,081,830	6/2000	Schindler	709	204	
	6,138,239	10/2000	Veil	713	200	
	6,289,462 B1	9/2001	McNabb et al.	713	201	
	6,330,670 B1	12/2001	England et al.	713	2	

Information Disclosure Statement USSN 10/075,444
March 14, 2003
Page 5



MAR 1. 9 2003

### **Technology Center 2100**

#### FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO
application no.: 0020441.2	filed: 8/2000	GB			
2 187 855 A	6/1997	CA			
0 825 511 A	2/1998	EP			
0 849 657 A	6/1998	EP			
0 893 751 A1	1/1999	EP			
0 992 958 A2	4/00	EP			
1 030 237 A1	8/2000	EP			
1 049 036 A2	11/2000	EP			
1 076 279 A1	2/2001	EP			
1 107 137 A2	6/2001	EP			
2 317 476 A	3/1998	GB			
2 361 153 A	10/2001	GB			
95/24696 A	9/1995	WO			
98/15082 A	4/1998	WO			
98/36517 A	8/1998	WO			
00/19324 A1	4/2000	WO			
00/48062	8/2000	WO			
00/52900 A1	9/2000	WO			
00/54125	9/2000	WO			
00/54126	9/2000	WO			
00/58859	10/2000	WO			
00/73880 A1	12/2000	WO			
00/73904 A1	12/2000	WO			i
00/73913 A1	12/2000	WO			
01/09781 A2	2/2001	WO			
01/27722 A1	4/2001	WO			
01/65334 A2	9/2001	WO			
01/65366 A1	9/2001	WO			

USSN 10/075,444
March 14, 2003
Page 6

## **RECEIVED**

MAR 1. 9 2003

**Technology Center 2100** 

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages,

	Etc.
Anderson, R., et al., "Tamper Resistance - a Cautionary Note," <i>ISENIX Association, Second USENIX</i> Workshop on Electronic Commerce, pp 1-11 (November 18- 21, 1996).	
Berger, J.L., et al., "Compartmented Mode Workstation: Prototype Highlights," <i>IEEE Transactions on Software Engineering</i> , Vol. 16, No. 6 (June 1990).	
Chaum, D., "Security without Identification: Transaction Systems to Make Big Brother Obsolete," Communications of the ACM, Vol. 28, No. 10, pp 1030-1044 (October 1985).	
Hallyn, S.E., et al., "Domain and Type Enforcement for Linux,"  Internet: <a href="http://www.usenix.org/publications/library/proceedings/als2000/full_papers/hallyn/hallyn_html/&gt;.">http://www.usenix.org/publications/library/proceedings/als2000/full_papers/hallyn/hallyn_html/&gt;. (Retrieved April 24, 2002).</a>	
Loscocco, P., et al., "Integrating Flexible Support for Security Policies into the Linux Operating / System," Internet: <www.nsa.gov selinux=""> (Retrieved April 24, 2002).</www.nsa.gov>	
Milojicic, D., et al., "Process Migration," Internet: <a href="http://www.hpl.hp.com/techreports/1999/HPL-1999-21.html">http://www.hpl.hp.com/techreports/1999/HPL-1999-21.html</a> .  pp 1-48 (December 5, 1998).	-
Scheibe, M., "TCPA Security: Trust your Platform!"  Quarterly Focus PC Security, pp 44-47.  Internet: <a href="http://www.silicon-trust.com/pdf/secure_PDF/Seite_44-47.pdf">http://www.silicon-trust.com/pdf/secure_PDF/Seite_44-47.pdf</a>	
Senie, D., "Using the SOCK_PACKET mechanism in Linux to gain complete control of an Ethernet Interface," Internet: <a href="http://www.senie.com/dan/technology/sock_packet.html">http://www.senie.com/dan/technology/sock_packet.html</a> .  (Retrieved April 24, 2002).	
Wiseman, S., et al., "The Trusted Path between SMITE and the User," Proceedings 1988 IEEE Symposium on Security and Privacy, pp 147-155 (April 18-21, 1988).	
Yee, B., "Using Secure Coprocessors," Doctoral thesis - Carnegie Mellon University, pp 1-94 (May 1994).	
Boot Integrity Services Application Programming Interface, Version 1.0, Intel Corporation, pp 1-60 (December 28, 1998).	

Information Disclosure Statement USSN 10/075,444
March 14, 2003
Page 7



# **RECEIVED**

MAR 1 9 2003

Technology Center 2100

"Building a Foundation of Trust in the PC," Trusted Computing Platform Alliance, pp 1-7 (January 2000).
"HP Virtualvault: Trusted Web-server Platform Product Brief," Internet: <http: brief_4.0="" papers="" products="" security="" virtualvault="" www.hp.com=""></http:> pp 1-6.
"Information technology - Security techniques - Entity authentication; Part 3: Mechanisms using digital signature techniques," ISO/IEC 9798-3, Second Edition, pp 1-6 (1998).
"Information technology - Security techniques - Key management - Part 3: Mechanisms using asymmetric techniques," ISO/IEC 11770-3, pp 1-34 (1999).
"NIST Announces Technical Correction to Secure Hash Standard," Internet: <http: hashstan.htm="" public_affairs="" releases="" www.nist.gov=""> pp 1-2 (October 24, 2002).</http:>
"Secure Computing with JAVATM: Now and the Future," Internet: <http: collateral="" html="" java.sun.com="" marketing="" security.=""> pp 1-29 (April 2, 2002).</http:>
"Secure Execution Environments, Internet Safety through Type-Enforcing Firewalls," Internet: <thp: internet-safety.asp="" nailabs="" research="" secure-execution="" www.ghp.com=""> (Retrieved April 24, 2002).</thp:>
Trusted Computing Platform Alliance (TCPA), Main Specification, Version 1.0, pp 1-284 (2000).
Trusted Computing Platform Alliance (TCPA), TCPA Design Philosophies and Concepts, Version 1.0, Internet: <www.trustedpc.org> pp 1-30 (January 2001).</www.trustedpc.org>

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.